

Appendix 1

Summary of Outstanding Internal Audit Recommendations as at end of February 2018

Recommendations Made	2014/15	2015/16	2016/17	2017/18 to date
Number of High Priority	54	58	40	32
Number of Medium Priority	34	42	48	63
Number of Low Priority	25	21	30	58
Total	113	121	118	153
Recommendations Implemented	111	115	99	70
Number of high recommendations outstanding	2	4	8	1
No of medium recommendations outstanding	0	2	5	3
Number of Low recommendations outstanding	0	0	1	3
Outstanding but not overdue	0	0	5	76
Total Outstanding and overdue	2	6	19	7
Percentage due implemented	98%	95%	88%	90%

N.B Where recommendations are raised in more than one year these are only reflected in the first year raised

Outstanding Internal Audit Recommendations 2014/15

Audit 2014/15	Recommendations	Priority	Agreed Imp Date	Managers Comments
IT Security December 14	<p>R1 It is essential that the current Council's Use of ICT by Employees Policy is reviewed to determine if it is still fit for purpose. If it is deemed not fit for purpose that a new ICT policy should be devised in accordance with the risk appetite, strategies and direction of business of the Council</p> <p>Raised again Nov 17</p>	H	<p>End May 2015</p> <p>Revised date end May 2018</p>	<p>Manager Responsible : Rachel O Neil</p> <p>February 18 Update – Policies developed and consulted on. Adoption paused until GDPR guidance is finalised so that this can be taken in to account.</p>
Procurement – February 2015	<p>R3 The Council should publish a procurement toolkit on the Council's intranet and provide relevant Service Managers/Managers with compulsory training. This should include:</p> <ul style="list-style-type: none"> • The Council's contract procedure rules. • EU legislation requirements. • Local Government Transparency Code 2014. • Confirmation of the respective roles in the procurement process. • Procurement methods and best practice. 	H	<p>September 2015</p> <p>June 2018</p>	<p>Manager Responsible : Rachel O'Neil</p> <p>February 18 Update – Member training delivered. Procurement e learning developed but not yet rolled out to staff.</p>

Outstanding Recommendations 2015/16

Audit- Recs 2015/16	Recommendations	Priority	Agreed Imp Date	Managers Comments
Data Protection – May 2015	<p>R1 It is essential that the programme of training embarked on in April 2015, is monitored to ensure all staff fully complete the training and that the anticipated further training to data asset owners occurs and is completed within a prescribed timescale.</p> <p>Raised again September 17</p>	H	<p>November 2015</p> <p>Revised Date June 2018</p>	<p>Manager Responsible: Rachel O’Neil/Tony Smith/Gerard Rogers (as SIRO)</p> <p>February 18 update – Data protection training rolled out to staff through learning pool but completion rates are still only around 50%. CMT working with service managers to move to 100% completion of the modules. Feedback from training is being evaluated by Information Assurance Manager. Programme of cultural awareness, including the new GDPR is being implemented. Aspire being used to provide information.</p>
Data Protection – May 2015	<p>R3 The review of Council forms used to collect personal data, be concluded by the revised implementation date 1st June 2015, with appropriate action being taken on any forms which are considered not to have a robust and consistent fair processing notification.</p> <p>Raised again September 17</p>	H	<p>End July 2015</p> <p>Revised Date May 2018</p>	<p>Manager Responsible: Rachel O’ Neil/ Tony Smith/Gerard Rogers (as SIRO)</p> <p>February 18 Update – This work is being completed as part of the GDPR compliance action plan.</p>

Audit- Recs 2015/16	Recommendations	Priority	Agreed Imp Date	Managers Comments
Non Housing Property Repairs July 15	R3 As previously agreed, a report to the Council should be prepared indicating the outcomes of the property condition surveys undertaken and the levels of maintenance required, subsequent to which liaison must occur between the Council and the service provider to provide guidance on the levels of contributions available and the level of maintenance affordable (both revenue and capital)	H	September 2015 Revised date May 2018	Manager Responsible: Kevin Hanlon / Matt Sorby/ Jon Vaughan February 18 update - A ten year capital maintenance plan is being developed by Kier for the Council's principle assets. The first dozen assets have been assessed and costed for capital works. This has yet to be approved by CMT and reported to Council. The second tranche of assets is now to be identified.
Non Housing Property Repairs July 15	R5 In conjunction with R2, when the new 10 year cycle is established it must be transparent as to what works are included within the cycle with the programme being adhered to as much as is practical. In instances where works are deferred or brought forward for any reason the plan should be updated to reflect the changes	H	Ongoing	Manager Responsible: Kevin Hanlon / Matt Sorby/ Jon Vaughan As above
Procurement – March 16	R6 The CBC website requires updating with the Contracts Register to comply with the Local Government Transparency Code 2015	M	Within 3 months of SLA sign off Revised target June 2018	Responsible Manager: Rachel O'Neil February 2018 Update – Not yet progressed

Audit- Recs 2015/16	Recommendations	Priority	Agreed Imp Date	Managers Comments
Business Continuity and Emergency Planning arrangements October 2015	<p>R2 Once the new Corporate Management Team structure has been established then it should be ensured that Service Area Business Continuity plans are:-</p> <ul style="list-style-type: none"> • Aligned to the new structure • Brought up to date • Appropriately distributed <p>Updated at least annually</p>	M	SS to commence once new CMT structure agreed and further developed and completed once positions filled – March 2017	<p>Manager Responsible: Sam Sherlock</p> <p>January 18 Update - The following business continuity service area arrangements are still outstanding:</p> <ul style="list-style-type: none"> • Customers, Commissioning and Change - Rachel O'Neil • Economic Growth - Neil Johnson • Health and Wellbeing – Ian Waller

Outstanding Recommendations 2016/17

Audit Recs 2016/17	Recommendations	Priority	Agreed Imp Date	Managers Comments
Section 106/CIL – September 2016	R2 It should be ensured that all section 106 obligations due and not collected get assessed; these should then be chased for payment or written off as appropriate. See Appendix 1	H	March 2017 Revised date : March 2018	Manager Responsible: Neil Johnson February 18 update - A report will be presented to Planning Committee and approval by Exec Member for Econ Growth and Cabinet if necessary
Section 106/CIL – September 2016	R3 Evidence should be provided to confirm payment of the offsite play contribution (£38,800) and the highways contribution (£5,000) for CHE/05/00053/FUL.	H	March 2017 Revised date March 2018	Manager Responsible: Neil Johnson February 18 update - Dialogue with the developer to establish receipt of funds
Section 106/CIL – September 2016	R10 Consideration should be given to providing the planning committee with an annual report that details all section 106 agreements and there current status including outstanding obligations not received.	H	April 2017 Revised Date March 2018	Manager Responsible: Neil Johnson February 18 update - As part of the annual report that is currently prepared for Planning Committee all outstanding agreements and their status will be added
Health and Safety	R1 A review of all Health and Safety policies,	H	July 2017	Manager Responsible:

Audit Recs 2016/17	Recommendations	Priority	Agreed Imp Date	Managers Comments
– November 16	protocols and guidance should be undertaken to ensure they are up to date and reflect the most current legislation and approved codes of practice.		Revised Date May 2018	James Drury / Ian Waller Update February 2018 – It is proposed to significantly rationalize the number of policies to produce a primary policy with embedded links to supporting national guidance and a small number of individual key policies.
Health and Safety – November 16	R6 It is essential that the programme of Health and Safety audits are recommenced as soon as possible.	H	30th June 2017 Revised Target July 2018	Manager Responsible: James Drury / Ian Waller Update February 18 - The Executive Director is investigating the possibilities as to what form these audits will take and who will undertake them.
Health and Safety – November 16	R7 It is essential that the Corporate Asbestos Management Plan is reviewed as soon as possible.	H	May 2017 Revised Date April 2018	Manager Responsible: James Drury / Ian Waller February 18 Update – In progress, a report went to Cabinet 13/3/18 with an update on the asbestos compliance report action plan and had an overarching asbestos policy approved (for the corporate and housing property

Audit Recs 2016/17	Recommendations	Priority	Agreed Imp Date	Managers Comments
				portfolios). Now this has been approved the AMP will be next.
Health and Safety – November 16	R8 It is essential that the programme of inspections and surveys of the Council-owned non-domestic premises to make a materials assessment for asbestos is commenced as soon as possible.	H	January 2017 Revised Target April 2018	Manager Responsible: James Drury / Ian Waller February 2018 update – The majority of surveys have been completed.
Health and Safety – November 16	R11 It must be ensured that the Managing contractors code of practice and related procedures must be adhered to. If departmental failings are identified the appropriate reminders / training should be given	H	March 2017 Revised Target September 2018	Manager Responsible: James Drury / Ian Waller February 18 update – A working group has been established to review the managing contractors' procedures. This will address both the process and documentation.
Crematorium – May 16	R1 The planned reconciliation between actual memorials in situ and memorial records held electronically / in registers should be undertaken as soon as possible.	M	30 th June 2017	Manager Responsible : Mike Brymer February 18 update – New temporary member of staff recruited and project commenced.

Audit Recs 2016/17	Recommendations	Priority	Agreed Imp Date	Managers Comments
				the relevant manager. Learning Pool is now live and the key health and safety training has been included. Health and Safety modules are now mandatory but employee training is not yet up to date
Health and Safety – November 16	R5 Procedures for monitoring and measuring performance in respect of the Corporate Health and Safety Unit should be identified and reported on a periodic basis.	M	June 2017 Revised target date October 2018 for pilot, Full year April 19	Manager Responsible: James Drury/Ian Waller / Health and Safety Committee February 18 update – A service redesign is taking place and following that a new set of performance indicators can be considered by the health and safety committee.
Health and Safety – November 16	R10 The possibility of benchmarking against other local authorities should be considered.	L	September 2017 Revised date September 2018	Manager Responsible ; James Drury / Ian Waller February 18 update – Opportunities for benchmarking will be considered after more pressing issues have been resolved

Outstanding Recommendations 2017/18

Audit Recs 17/18	Recommendations	Priority	Agreed Imp Date	Managers Comments
Sale of Land and Property – August 2017	R4 It is essential that a check of properties sold within the last 2 years is compared to the land terrier and the Mentor system to ensure both systems are up to date	M	December 2017	Manager Responsible : Matt Sorby Update Dec 17 – waiting on the electronic version of the terrier system which I understand has been set up, but not rolled out to staff yet.
Members Allowances and Expenses – August 2017	R1 As recommended in the previous audit It must be ensured signed ICT agreements are held for all members.	M	30 th November 2017 Extended to 31 March 2018	Manager Responsible : Donna Reddish February 18 update - Members are currently signing IT agreements so we can get everyone signed up by the end of 2017/18. Many have already signed but we are chasing up the remaining members. This will be completed by the end of March 2018. We will also be working with ICT to put in place a stronger process for member induction. This will be important for the May 2019 intake of members.
Queens Park Sports Centre – August 2017	R7 It should be ensured that contracts detailing correct vending machines and calculations on how much commission is to be received are in place for all vending and coin operated machines	L	February 2018	Manager Responsible : Dave Monkhouse February 18 update: - Tied in

Audit Recs 17/18	Recommendations	Priority	Agreed Imp Date	Managers Comments
				to the changes at HLC. Contract for vending to be reviewed for both centres.
Queens Park Sports Centre – August 2017	R9 It should be ensured that a full review of lost property currently held is completed ensuring that all items are recorded and items that can be disposed of are disposed. A periodic review should be completed to ensure all older items are removed.	L	September 2017	Manager Responsible : Dave Monkhouse February 18 update - A reception check sheet to be implemented that includes lost property checks and will become part of monthly checks
Queens Park Sports Centre – August 2017	R11 It would be prudent to ensure that all hire equipment purchases and write offs are recorded and correctly authorised by the operations manager.	L	October 2017	Manager Responsible : Dave Monkhouse February 18 update - A reception check sheet to be implemented
Data Protection – September 17	R6 That all Data Protection policies are approved by cabinet and made available to employees on the intranet as soon as possible	M	End November 2017 Extended to May 18	Manager Responsible : Rachel O Neil / Tony Smith February 18 update – Policies developed and consulted on. Adoption paused until GDPR guidance is finalised so that this can be taken in to account.

Audit Recs 17/18	Recommendations	Priority	Agreed Imp Date	Managers Comments
ICT Network Security – November 17	<p>A review of the Sophos monitoring procedures should be completed with the aim of ensuring the following are completed on a regular basis</p> <ul style="list-style-type: none"> • Errors and warnings reviewed and cleared from system • Reconciliation of devices protected to full list of current devices <p>Ensuring all Sophos protection policies are active and correct</p>	H	31 st December 2017	<p>Manager Responsible : Rachel O Neil/Arvato</p> <p>ICT will undertake an initial tidy up of the Sophos management console to remove obsolete devices. A new Group Policy has been implemented to identify devices that do not have Sophos installed and to install it. A weekly task will be added to the Service Desk to review the Sophos update progress report and investigate the devices that are not receiving Sophos updates.</p>